

Responsible Office: Code J/Office of Management Systems
Subject: Management Report Preparation Process



Office of Management Systems

Office Work Instruction

Management Report Preparation Process

Original Approved by: _____

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DOCUMENT HISTORY LOG

<u>Status</u> <u>(Baseline/</u> <u>Revision/</u> <u>Canceled)</u>	<u>Document</u> <u>Revision</u>	<u>Effective</u> <u>Date</u>	<u>Description</u>
Baseline		12/7/99	
Revision	A	4/28/00	Revisions reflect review of HOWIs to address Pre-Assessment Audit of Feb. 2000, as follows: (1) clarify when signing/approving officials are identified in the process; (2) clarify sequence of steps followed in gathering additional information for report; (3) include possibility of report outputs in electronic format; and, (4) improve clarity of flowchart.

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1. Purpose

The purpose of this procedure is to document the process used by the Office of Management Systems (Code J) in formulating management reports.

2. Scope and Applicability

This Office Work Instruction (OWI) covers management reports performed in Code J. These reports document the results of Code J work, Agency performance against documented metrics controlled by Code J, and Agency compliance with applicable statutes and regulations in the functional areas for which Code J has Agency-wide responsibility. Reports covered by this OWI are prepared on a periodic basis – quarterly, biannually, annually or less frequently. They can be in response to external requirements from the Executive or Legislative Branches of the Federal Government or other Federal Agencies or in response to internal Agency requirements. This OWI does not cover ad hoc inquiries from an outside governmental body or other party.

This instruction applies to Code J personnel involved in the preparation of Code J management reports.

3. Definitions

- 3.1 A. NASA Administrator
- 3.2 AA. Associate Administrator for Management Systems
- 3.3 ADS. Action Document Summary, NASA Form 117 – Form for HQS single letter codes to concur on a document.
- 3.4 AO. Action Officer
- 3.5 Approving Official. Director and/or designated member of his/her staff whose functional area of responsibility is reflected in the management report. Depending on the specific management report, Signatory Official may be the only Approving Official.
- 3.6 Code J. HQ Office of Management Systems
- 3.7 Concurrence Record. The concurrence record is an Action Document Summary (ADS), NASA Headquarters (NHQ) Form 117, or Routing Slip, Standard Form 26.
- 3.8 Form 26. Routing Slip – NASA form to control routing actions among pertinent HQS staff.
- 3.9 Director. Division or Office Director
- 3.10 HQS. NASA Headquarters

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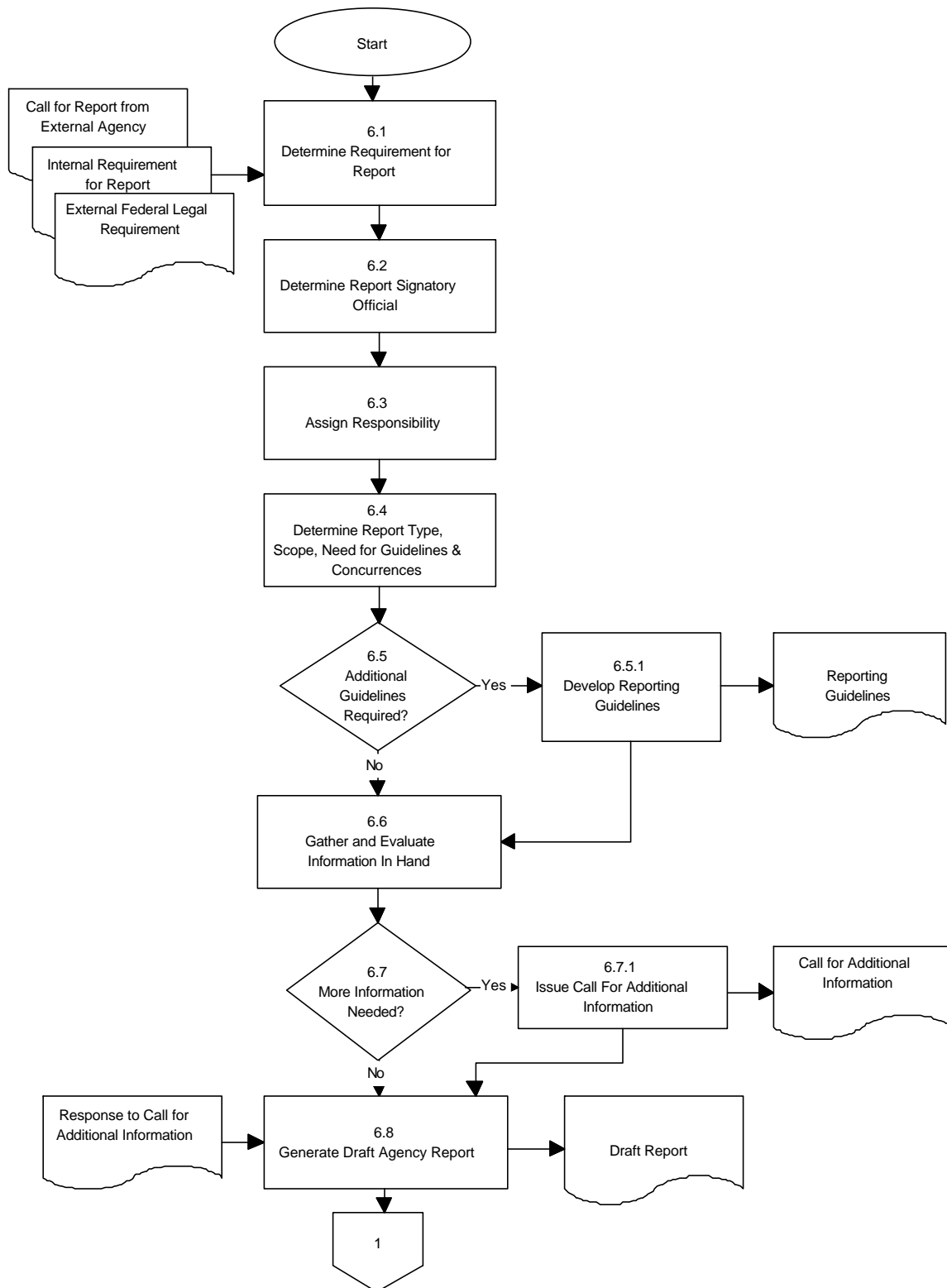
- 3.11 NPD. NASA Policy Directive – describes the “what” required by NASA management to achieve NASA’s vision and mission (as depicted in the NASA Strategic Plan).
- 3.12 NPG. NASA Procedures and Guidelines – the detailed instructions and guidelines for implementing NASA policy. They are the “how to” instructions and procedures considered essential for accomplishing the deliverable requirements established by the NPD.
- 3.13 SO. Signatory Official. The Signatory Official may be the A, AA, a Director, or other member of the Code J staff as (1) designated in a NASA NPD, NPG, or other NASA document, (2) delegated in writing by the party designated in (1) above, or (3) designated in the external mandate.

4. References

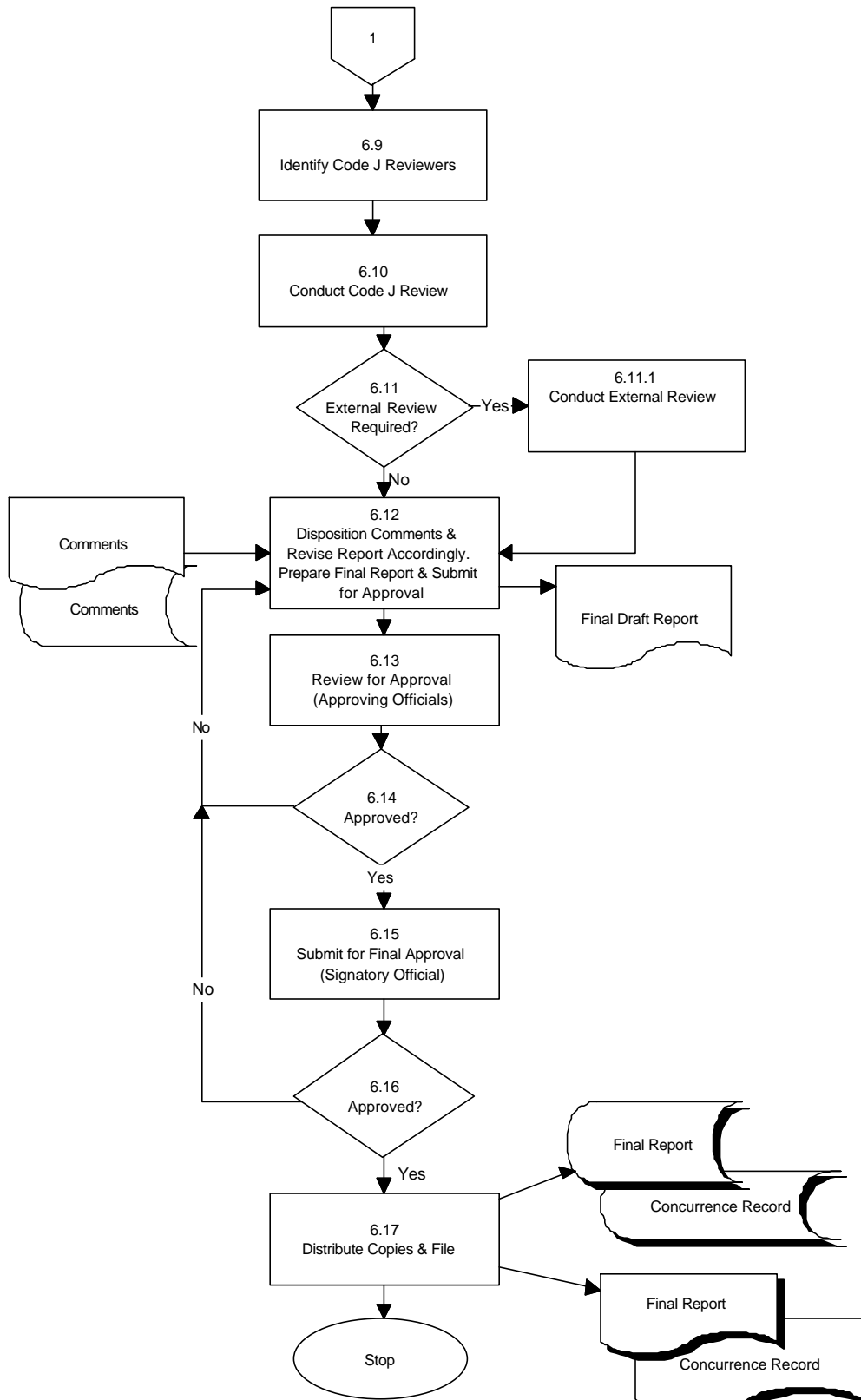
- 4.1 NPG 1000.3 The NASA Organization
- 4.2 NASA Office of Management Systems and Facilities Functional/Staff Office Implementation Plan, May 1998

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5. Flowchart



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TO VERIFY THAT THIS IS THE CORRECT VERSION BEFORE USE

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6. Procedure

Step	Actionee	Action
6.1	AA, AA Designee, or Code J Director	Determine whether a report is needed. The need arises if Code J or a Code J Division/Office (1) has received an external/internal report/data request, (2) a Code J control document (e.g., NPD, NPG, or Operating Plan) calls for the preparation of a report, or (3) an external Federal statute or regulation requires a report.
6.2	AA, AA Designee, or Code J Director	Determine report SO.
6.3	Office of the AA, Code J Director or Signatory Official	Assign responsibility to an AO for coordinating preparation, review and approval of the report. The assignment may be orally or in writing.
6.4	AO	Review incoming or internal document in order to determine reporting requirements, scope and concurrences, if any. Based on identified reporting requirements and incoming or internal document, determine if additional guidelines or information is necessary to generate a valid report.
6.5	AO	If additional guidance is needed, go to 6.5.1. If no additional guidance is necessary, proceed to 6.6 and gather and evaluate information.
6.5.1	AO	Develop reporting guidelines to clarify any ambiguities and ensure consistency and validity of information gathered.
6.6	AO	Gather and evaluate information available within Code J. This may necessitate coordination and consultation with other staff of AO's or other divisions within Code J. Determine if information gathered is adequate and valid to fulfill reporting requirement.
6.7	AO	If inadequate or invalid, go to 6.7.1. If information is adequate and valid, go to 6.8.
6.7.1	AO	Solicit information from Code J or other HQS offices, Centers and component facilities. Information may be solicited by written data call, electronically, or by agency-wide interactive databases. Reporting guidelines relevant to the information sought are included in call package.
6.8	AO	Write draft report according to defined requirements and reporting guidelines.

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Step	Actionee	Action
6.9	AO	Identify Code J report reviewers. Reviewers will be determined based upon potential interest and/or specialized knowledge pertaining to the report. Determine if review by officials outside of Code J divisional/office level is required, based upon potential interest and/or specialized knowledge.
6.10	AO Code J Reviewers	Circulate draft report for Code J review. Review draft report for accuracy and adequacy. Provide comments in hard copy or electronically. Steps 6.10 and 6.11.1 can be undertaken concurrently to save time.
6.11	AO	If external review is required, go to 6.11.1. If no external review is required, proceed to 6.12.
6.11.1	AO	Circulate draft report for external review. External reviewers are asked to review draft report for accuracy and adequacy and provide comments in hard copy or electronically.
6.12	AO	Determine if changes are warranted based on comments received. To the extent necessary, discuss issues with reviewers. Incorporate comments if they contribute to the adequacy, accuracy, or the reader's understanding of the report. Prepare report for final approval and signature in accordance with Code J protocol. The report includes a summary of major reporting guidelines followed. Determine approving officials based on specialized expertise and whether the report relates significantly to their line or functional offices. Use an ADS or Form 26 to circulate the report as concurrence record. Where a Form 26 is used, all of the listed officials must be listed specifically as having a concurrence or signature role.
6.13	Approving Officials	Review draft report for accuracy and adequacy. Provide comments in hard copy or electronically. If not accurate or adequate, provide comments to AO. If approved, indicate approval and transmit to next Approving Official on the ADS or Form 26. Approvals may be sought concurrently rather than consecutively to conserve time.
6.14	AO	If not approved, go to 6.12. If all concurrences have been received, go to Step 6.15.
6.15	AO Signatory Official	Submit final report to Signatory Official. Review final report. If approved, sign report. If not approved, provide comments to AO. Approval can be written or electronic.

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<u>Step</u>	<u>Actionee</u>	<u>Action</u>
6.16	AO	If final report is approved by SO, proceed to Step 6.17. If not approved, return to Step 6.12 to revise report to incorporate comments received from the SO. Steps 6.13 and 6.14 do not need to be repeated, if so determined by the SO.
6.17	Director or Administrative Assistant	Distribute copies of final report, as determined by AO. File final report with concurrence record in accordance with Code J filing system.

7. Quality Records

<u>Record Identification</u>	<u>Owner</u>	<u>Location</u>	<u>Record Media: Electronic/ Hard Copy</u>	<u>Schedule Number & Item Number (NPG 1441.1)</u>	<u>Retention/ Disposition</u>
Final Report with Concurrence Record	Director	Division or Office files	Hard copy	Schedule 1, items 22A and 22B;or external mandate	If signed by AA, permanent. Retire to FRC when 5 years old in 5-year blocks. Transfer to NARA when 10 years old. If signed by a lower official, destroy after 2 years. If the relevant external mandate calls for more stringent records retention, those requirements take precedence.
Final Report with Concurrence Record	Director	Division or Office files	Electronic	Schedule 1, items 22A and 22B;or external mandate	If signed by AA, permanent. Retire to FRC when 5 years old in 5-year blocks. Transfer to NARA when 10 years old. If signed by a lower official, destroy after 2 years. If the relevant external mandate calls for more stringent records retention, those requirements take precedence.